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**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

☒ Declaration Submitted with Initial Filing **OR** ☐ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number

First Named Inventor

Frederick S. M Herz

COMPLETE IF KNOWN

Application Number

60/263,556

Filing Date

22 Jan 2001

Art Unit

Examiner Name

As the below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original and first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Stock Market Prediction
Using Natural Language Processing

(Title of the Invention)

the specification of which

☒ is attached hereto - was filed 22 January, 2001 as a Provisional application

OR

☐ was filed on (MM/DD/YYYY) as United States Application Number or PCT International

Provisional

Application Number 60/263,556 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

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Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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DECLARATION — Utility or Design Patent ApplicationDirect all correspondence to: ☐ Customer Number OR ☒ Correspondence address belowName Frederick S. M. HerzAddress PO Box 67761 B Easton Rd.
WarringtonCity WarringtonState PAZIP 18976Country USATelephone 267-974-3000

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR: ☐

A petition has been filed for this unsigned inventor

Given Name Frederick S. M.

(first and middle [if any])

Family Name
or Surname HerzInventor's
Signature Date 01-21-01Residence: City WarringtonState PACountry USACitizenship USAMailing Address PO Box 67 - 761 B. Easton Rd.City WarringtonState PAZIP 18976Country USANAME OF SECOND INVENTOR: ☐

A petition has been filed for this unsigned inventor

Given Name Lyle H.

(first and middle [if any])

Family Name
or Surname UngarInventor's
Signature 

Date

Residence: City PhiladelphiaState PACountry USACitizenship USAMailing Address 321 South 23rd StCity PhilaState PAZIP 19103Country USA☐ Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

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DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

Title of Invention Stock Market Prediction Using Natural Language Processing

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☒ The attached application, or
☒ Application No. 60/263,556, filed on 22 January, 2001
☐ as amended on _____ (if applicable);
as a provisional U.S. application

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/ we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor one: Frederick S. M. Herz

Signature: [Signature] Citizen of: USA

Inventor two: Lyle H. Ungar

Signature: _____ Citizen of: USA

Inventor three: Jason M. Eisner

Signature: _____ Citizen of: USA

Inventor four: Walter Paul Labys

Signature: _____ Citizen of: USA

☐ Additional inventors are being named on _____ additional form(s) attached hereto.

Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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DECLARATION**ADDITIONAL INVENTOR(S)****Supplemental Sheet**

Page ____ of ____

Name of Additional Joint Inventor, if any:☐ A petition has been filed for this unsigned inventor**Given
Name**

Jason M

**Family Name
or Surname**

Eisner

**Inventor's
Signature****Date****Residence: City****State****Country****Citizenship****Mailing Address****Mailing Address****City**

Baltimore

State

MD

ZIP**Country**

USA

Name of Additional Joint Inventor, if any:☐ A petition has been filed for this unsigned inventor**Given
Name**

Walter Paul

**Family Name
or Surname**

Labys

**Inventor's
Signature****Date****Residence: City**

Ogden

State

Utah

Country

USA

Citizenship

USA

Mailing Address

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Mailing Address**City**

Ogden

State

Utah

ZIP

84401

Country

USA

Name of Additional Joint Inventor, if any:☐ A petition has been filed for this unsigned inventor**Given
Name****Family Name
or Surname****Inventor's
Signature****Date****Residence: City****State****Country****Citizenship****Mailing Address****Mailing Address****City****State****ZIP****Country**

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